

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Application Branch

In re Patent Application of

Applicant : Eiichi HATAKEYAMA )  
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  )

Serial No. : Not Yet Known )  
Filed : Concurrently           ) PRELIMINARY  
  AMENDMENT  
  )

For : METHOD FOR INVESTMENT )  
  MANAGEMENT )  
  )  
  )

Attorney Docket: 32307-177799 )

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January 17, 2002

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Prior to examination please amend Claim 14 as follows:

14. (amended) The method of investment management as claimed in Claim 1, wherein  
the beneficiary right is consolidated investment beneficiary right that further includes a  
beneficiary right on the basis of securities with stock instrument included issued by the  
entrepreneur.

REMARKS

This Preliminary Amendment is being filed in order to eliminate the multiple  
dependency of Claim 14. Pursuant to 37 CFR 1.121(c)(1)(ii), a marked up version of Claim 14  
is attached hereto showing the change made to this claim.

An action on the merits of Claims 1-23 is requested.

Respectfully submitted,

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Mark-ed Up Version of Amended Claim 14

14. (amended) The method of investment management as claimed in [one of Claims 1 to 13] Claim 1, wherein

the beneficiary right is consolidated investment beneficiary right that further includes a beneficiary right on the basis of securities with stock instrument included issued by the entrepreneur.